

NATIONAL ENDOWMENT FOR THE ARTS

Grants to Organizations

APPLICATION GUIDELINES

Heritage & Preservation

Education & Access

Creation & Presentation

Planning & Stabilization



NATIONAL
ENDOWMENT
FOR THE ARTS

FISCAL YEARS
1996 - 97

Application Calendar

| Category | Intent to Apply Card Deadline | Application Postmark Deadline | Earliest Announce- ment of Grant Award or Rejection | Earliest Project Beginning Date |
|--------------------------|----------------------------------|-------------------------------------|---|------------------------------------|
| Heritage & Preservation | Feb. 5, 1996 | March 4, 1996 | Sept. 1996 | Nov. 1, 1996 |
| Education & Access | Feb. 5, 1996 | March 4, 1996 | Jan. 1997 | March 1, 1997 |
| Creation & Presentation | Feb. 20, 1996 | April 3, 1996 | March 1997 | May 1, 1997 |
| Planning & Stabilization | Feb. 20, 1996 | April 3, 1996 | March 1997 | May 1, 1997 |

Late applications and applications that are determined to be incomplete will be rejected.

The Arts Endowment will not accept any application material by electronic transmission (e.g., FAX or E-mail) unless requested by Arts Endowment staff.

THESE GUIDELINES REPRESENT A MAJOR CHANGE IN THE ARTS ENDOWMENT'S GRANTMAKING STRUCTURE. PLEASE READ THEM (INCLUDING THE ACCOMPANYING "APPLICATION FORMS" BOOKLET) CAREFULLY.

If you have questions, please contact:

National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001

202/682-5400



202/682-5496 Voice/T.T. (Text-Telephone, a device for individuals who are deaf or hard-of-hearing)



Individuals who do not use conventional print should contact the Arts Endowment's Office for AccessAbility at 202/682-5532 for help in acquiring a cassette recording of these guidelines.

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Mission

The National Endowment for the Arts is the Federal grantmaking agency that Congress created to support the visual, literary, design and performing arts, to benefit all Americans. The Arts Endowment's mission is twofold:

- * To foster the excellence, diversity and vitality of the arts in the United States, and
- * To broaden public access to the arts.

Introduction

The National Endowment for the Arts, as the central source of Federal funding for the arts in America, is privileged to review the breadth and depth of American artistic creativity in all of its diversity. In cities, towns and rural areas in every region, Americans are making, teaching and caring for a treasury of art that is the envy of the world.

With the onset of diminished resources, the National Endowment for the Arts has reorganized its operations to achieve maximum efficiency in pursuit of its mission. The Agency will continue to serve the public by exercising the leadership in the arts that its unique overview allows. Therefore, **funding opportunities for organizations will now be available according to four themes:**

- **Heritage & Preservation**
- **Education & Access**
- **Creation & Presentation**
- **Planning & Stabilization**

The Endowment believes this new structure reflects the fundamental work of all cultural organizations in America. The panels of arts professionals and lay people from combined arts fields will have the responsibility to choose the very best projects across all artistic disciplines. The Endowment expects that arts organizations will respond creatively to these four themes and that the entire process will stimulate a rethinking of the role art has in our communities and in our nation.

This booklet covers funding opportunities that are available to **organizations** for the remainder of Fiscal Year 1996 (ending Sept. 30, 1996) and all of Fiscal Year 1997 (Oct. 1, 1996 -Sept. 30, 1997). All applications must be made to one of the themes listed above. In addition to this theme-based **Grants to Organizations**, the Endowment will consider applications for:

- **Partnership Agreements** that assist the state and jurisdictional arts agencies and their regional organizations in carrying out arts plans that benefit artists, arts organizations, arts education efforts, and communities. State arts agencies entering into Partnership Agreements with the Endowment will in turn work with local arts agencies and other community-wide arts groups in developing their plans. Partnership Agreements are one of the primary ways in which Arts Endowment support reaches communities throughout the country. A list of state, regional and jurisdictional arts agencies can be found on pages 52-55. The Partnership Agreements are described in a separate guideline booklet that will be available by March 1996 and will cover FY 1997.

Introduction (continued)

- **Leadership Initiatives**, wherein organizations will have the opportunity to respond to a limited number of specific, targeted priority projects or activities identified by the Arts Endowment. Information on specific initiatives will be available in the coming months.

Congress has prohibited the Arts Endowment from making direct grants to individuals except for Literature Fellowships, Jazz Masters, and National Heritage Fellowships in the Folk & Traditional Arts. Information on these areas will be available separately by March 1996. In addition, **the Endowment urges organizations that apply under these guidelines to assist and involve artists in all possible ways, and to reflect this involvement in their applications.**

The remainder of this booklet discusses Grants to Organizations.

These guidelines represent a major departure from past policies and practices. All potential applicants should read them carefully. These guidelines supersede any other Endowment guidelines for Fiscal Years 1996 and/or 1997 that you may have received previously.

We recognize that many organizations may find these guidelines daunting and will have questions. This is a transition period for all of us. We welcome your calls, but urge you to familiarize yourself with this material first. Please contact the office for the theme under which you anticipate applying or the Endowment's Public Information Office.

| | |
|--------------------------|--------------|
| Heritage & Preservation | 202/682-5428 |
| Education & Access | 202/682-5438 |
| Creation & Presentation | 202/682-5452 |
| Planning & Stabilization | 202/682-5429 |

| | |
|---------------------------|--------------|
| Public Information Office | 202/682-5400 |
|---------------------------|--------------|

Grants to Organizations

The Arts Endowment offers assistance for a full range of arts disciplines and types and sizes of organizations involved in the arts. **The Endowment remains committed to supporting equitable opportunity for all and investing in as diverse a reflection of our society as possible.**

All applications must be for specific projects. Each organization (with few exceptions as detailed below) may submit only one application under only one of the deadlines included in these guidelines. Grants will be awarded under the four themes: Heritage & Preservation, Education & Access, Creation & Presentation, and Planning & Stabilization. Each of these themes is described in more detail later in this booklet. While a project may include aspects of more than one theme, applicants will be asked to apply to the one that is most relevant to the goals of their project.

Please be aware that while the Endowment welcomes projects that address both of the areas in each theme (e.g., a project that addresses both Education and Access), this is not required. A proposal that addresses only one of the areas is entirely eligible and valid, e.g., a proposal may address only Creation, or only Presentation, only Planning, or only Stabilization, etc.

Eligibility

Nonprofit tax-exempt organizations of demonstrated artistic excellence may apply. Applicants may be arts institutions, local arts agencies, arts service organizations, tribal communities and Indian tribes*, official units of city governments, and other organizations that can further the goals of the Arts Endowment as outlined in the mission statement. Consortia of such organizations are also eligible. State arts agencies and regional arts organizations may apply as detailed on page 6.

All applicant organizations must:

- Meet the "Legal Requirements" on page 30. [An organization that does not have its own nonprofit status but otherwise meets the criteria for eligibility, may apply through an eligible nonprofit fiscal agent or umbrella organization which is willing to assume full administrative and legal responsibility for the grant.]
- Except for folk and traditional arts organizations, have a four-year history of programming prior to the application deadline.
- Have professional staff that can devote the time and effort that are required to accomplish the proposed project.

*Tribal communities and Indian tribes include any Indian tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688) [43 U.S.C.A. § 1601 et seq.] which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

Grants to Organizations (continued)

and

- For **orchestras and opera companies**, have an annual operating expenditure level of at least \$100,000.
- For **local arts agencies** (LAAs), be an arts council, commission, or 501(c)(3) organization that is designated to operate on behalf of its local government or operating unit of city or county government, as evidenced by:
 - City/county ordinance.
 - City/county resolution.
 - Contract with city/county government.
 - City/county charter.

LAAs also must provide planning, financial support, services and development for arts organizations and artists in a community or communities and involve, on a regular basis, activities in more than one art form.

Exceptions to the requirements above and on page 5 may be made for some members of a consortium, if the lead applicant and the majority of members are in compliance.

Former grantees must also meet the "Reporting Requirements" on page 28.

There are additional eligibility requirements for Planning & Stabilization applicants; see pages 21-22.

A **state arts agency** (SAA) or **regional arts organization** (RAO) may be funded as a participant in one application under these guidelines. This application may be for an SAA/RAO's own project **OR** for a consortium project in which the SAA/RAO is either the lead applicant or a participant. Grants will be made from funds that have been set aside by the Arts Endowment's authorizing legislation for grants to the states for developing arts organizations and other projects in artistically underserved areas. The activities for which SAAs or RAOs receive Arts Endowment funds must be consistent with the intent of this set-aside. There are no such restrictions on consortium projects where SAAs and/or RAOs are participants, but do not receive any Arts Endowment funds for such participation.

State arts agencies and regional arts organizations must be operating under plans that are approved by the Arts Endowment at the time of application.

Grants to Organizations (continued)

AN ORGANIZATION MAY SUBMIT ONLY ONE APPLICATION, FOR A SINGLE PROJECT (SEE "WE FUND" ON THE FOLLOWING PAGE), UNDER THIS GUIDELINE BOOKLET.

An organization that comprises separately identifiable and independent components may submit a separate application for each such component that meets the following criteria. The component must:

- Have a distinct identity as an administrative and programming unit that is separate from the parent organization.
- Have a separate budget.
- Have an independent board of trustees, editorial board, or other formal advisory group that has significant responsibility for oversight and management. This board/advisory group must have been in existence for at least four years at the time of application. The chairperson of this board/advisory group may not be the same as the chairperson of the board of the parent organization.
- Have professional staff (e.g., artistic director, editor or director of programming) whose responsibilities are directed primarily to the component unit.

Some examples of independent components may include:

- A presenter, literary magazine or press, museum, theater, etc., within a university campus or larger university system.
- A distinct component (opera company, dance company, orchestra, media division, museum, theater company, etc.) of a larger cultural complex.

An organization may not submit a separate application for a distinct *program* that is not administered by a totally separate unit as described above.

Any application on behalf of an independent component must be authorized by and submitted under the name of the 501(c)(3) organization. By signing the application form, the authorizing official certifies that the component meets the criteria above. The Arts Endowment expects such applicants to submit specific information to substantiate the independence of the component and reserves the right to determine whether or not a component is sufficiently independent.

While the application form must be submitted by the 501(c)(3) organization, all application information must refer to the component only, not to the larger organization.

A nonprofit organization that is acting as a **fiscal agent** for one or more organizations without their own nonprofit status may submit a separate application for each such group as well as one on its own behalf. In any application involving a fiscal agent, the Arts Endowment expects that most of the funds will be earmarked for the proposed project.

Grants to Organizations (continued)

In addition to submitting an application on its own behalf, an organization may participate in one **consortium** application, either as the lead applicant or as a participating organization, provided that each application is for a different project. (A state arts agency or regional arts organization that is funded through an underserved set-aside consortium application may not submit another application under these guidelines. However, an SAA or RAO may participate in other consortium projects as long as the SAA/RAO does not receive any Arts Endowment funds for its participation.)

A consortium is a partnership of two or more individually identified entities that undertake a shared project which requires combined resources of capital and human talent. A consortium may be functionally or geographically composed; e.g., a group of small organizations spread out across the country that join forces to share audience development strategies; or a group of presenters that establish a touring network for communities in a particular geographic region.

Each consortium must have one lead organization. The lead organization submits the application; accepts programmatic, financial, and administrative responsibility for the grant, including all reporting and monitoring activities; acts as the payee for the receipt of Federal funds; and distributes Federal funds to the consortium members.

An organization that plans to apply for a National Endowment for the Humanities Challenge Grant under the May 1, 1996 deadline may not apply under these guidelines for a National Endowment for the Arts Stabilization grant. Otherwise, an organization may apply to both the Arts Endowment (including application under the Planning & Stabilization theme for planning support) and the Humanities Endowment. However, before offering an award to an organization that currently is in receipt of an award from the Humanities Endowment, the Arts Endowment would need to determine that: (a) there is no duplication of project expenditures or matching funds (including Federal and non-Federal money) supported by the two proposals, and (b) the proposals provide convincing evidence that the organization is capable of fulfilling both awards in a timely way.

We Fund

All grants will be made for specific projects that serve the public by addressing one or more of the agency's themes. While a project may include aspects of more than one theme, an organization must apply to the one that is most relevant to the goals of its project. A project may consist of one or more specific, related events or activities.

Priority will be given to projects, regardless of the size or type of applicant organization, that are of national, regional or field-wide significance. This includes unique local projects that are likely to serve as models for a field. The Arts Endowment recognizes that significance may be measured by excellence or creativity, not by budget size, organizational longevity, or geographic reach.

Grants to Organizations (continued)

Organizations seeking support for projects that are primarily of state or local significance may wish to contact their state arts agency. See pages 52-55 for a list of state, regional, and jurisdictional arts agencies working in partnership with the Arts Endowment.

Artistic excellence and artistic merit will be the primary criteria in the review of applications. The potential impact of the project and the applicant's ability to carry it out also will be seriously considered. Specific review criteria for each theme are listed in the theme sections.

We Do Not Fund (please read this section carefully)

Funding under these guidelines is not available for:

- General operating support.
- Seasonal support.
- Construction or renovation of facilities.
- Marketing expenses that are not directly related to the proposed project.
- Commercial (for-profit) enterprises or activities.
- Fundraising or development.
- Debt and deficit reduction.
- Cash reserves and endowments (except in Planning & Stabilization).
- Social activities, entertainment costs, receptions, etc.
- Lobbying expenses.
- Individuals directly.
- Elementary and secondary schools directly.
- Avocational or student groups.
- Generally, professional training in degree-granting institutions.
- Work toward academic degrees.
- Literary projects, programming or publishing that does not focus primarily on contemporary literature and/or writers. For projects involving the interpretation of existing literature, applicants should contact the National Endowment for the Humanities.
- Research that is directed primarily to academic purposes or scholarly projects. (Research related to catalogues or public programming may be funded.)
- Publication of books or exhibition of works by the applicant organization's staff, board members, faculty or trustees.
- Exhibitions of, and other projects involving, single, privately owned collections.
- Purchase of major equipment, except in limited cases where the equipment is an integral component of the project and where rental costs would exceed the purchase price.
- Subgranting or regranting, except for state arts agencies and regional arts organizations.

Intent to Apply

Organizations that are planning to apply for a grant under these guidelines are asked to submit the Intent to Apply card on the back cover of this booklet. Please submit this card by the Intent to Apply Card Deadline for the theme under which you plan to apply (see the Application Calendar inside the front cover).

While submission of the Intent to Apply card is not mandatory, the Endowment urges all potential applications to fill out the card to the best of their ability. Your organization is not obligated to apply for the project that you describe on this card. Endowment staff will use the Intent to Apply cards to help organize conflict-of-interest-free application review and to schedule site visits where appropriate.

Note to Applicants

The following pages describe the Arts Endowment's four themes and how to apply for a grant. These guidelines also provide information on policies, procedures and Federal requirements with which all applicants must be familiar. Included are topics such as application review, access for individuals with disabilities, project amendment requests, final reports and Federal requirements with which all grantees must comply. **Be sure to read "Important Information for All Applicants" starting on page 25, "Legal Requirements" on page 30, and "Assurance of Compliance" starting on page 50.**

Please remember: these guidelines are for organizations only; and organizations, with few exceptions (see pages 6-8), are limited to a single application, under one of the themes in this guideline book. The Arts Endowment does not have the staff or the resources to handle fairly and responsibly the multiple applications and thousands of grants that were possible in past years.

Themes

HERITAGE & PRESERVATION

The artistic heritage of the United States is diverse, complex and lively. Reflecting the many threads that comprise the fabric of our cultural and aesthetic life, this living, pluralistic heritage challenges our understanding and enriches the lives of all Americans, ensuring our cultural well-being and offering breadth of vision and deep-rooted vitality that strengthens our future.

Preserving our nation's wealth of outstanding artistic accomplishment expands the body of artistic models, resources and insights available to all Americans now and for the future.

The Arts Endowment's purpose through this theme is to: 1) honor, assist and make visible those artists and forms of artistic expression that are rooted in and reflective of the many cultural groups that make up our nation; 2) preserve our most significant artistic accomplishments for future generations; and 3) conserve important works of art.

Heritage & Preservation projects should represent clearly defined strategies to accomplish these goals. They may include, but are not limited to:

- The documentation and/or presentation to the public of artists and art forms that reflect our diverse cultural traditions.
- Projects that pass artistic repertoire, techniques, aesthetic principles and oral traditions on to future generations through apprenticeships or other forms of instruction.
- The documentation and preservation of significant artistic works, styles, techniques and aesthetic/cultural perspectives.
- Projects that provide technical assistance to traditional/folk artists.
- Publications that document and/or disseminate artistic works, models of preservation, or other material that is aimed at strengthening our artistic heritage.
- The conservation treatment of highly significant works of art, artifacts and collections wholly owned by the applicant.
- Innovative uses of modern technology as a means of preserving and strengthening our artistic heritage.

Review Criteria

The following criteria are considered during the review of applications:

Artistic excellence and artistic merit of the proposed project and the applicant organization, including the:

- Artists to be involved, if appropriate.
- Artistic significance of the proposed project and/or the work(s) to be preserved/conserved, as appropriate.
- Evidence of direct payment of participating artists and arts professionals, where appropriate.

Impact of the project, including the:

- Significance of the proposed project to our artistic and cultural heritage.
- Potential to broaden public appreciation of and access to the arts.
- Urgency of the need for preservation/documentation/support.
- Where appropriate, the potential of the proposed project to reach underserved populations such as those in rural areas, culturally-diverse or culturally-specific communities, and individuals with disabilities.

Ability to carry out the project, including the:

- Applicant's readiness to accomplish the project.
- Inclusion of the appropriate artistic and cultural expertise in the planning and execution of the project.
- Effectiveness of the proposed plans and/or methods for preservation/documentation/dissemination, including, where appropriate, the involvement of the cultural communities that will be affected.
- Appropriateness of the budget for the proposed activities.
- Organizational stability and fiscal responsibility.
- Completeness and clarity of the application package, including all narratives, work samples and support materials.

Grant Amounts and Matching Funds

Grants generally range from \$5,000 to \$200,000 and require a match of at least 1 to 1.

Deadline and Announcement Dates

Submit the completed Intent to Apply card from the back cover of this booklet by February 5, 1996.

Complete application packages must be postmarked no later than March 4, 1996. Notification of awards and rejections will be made by mail only, and not before late September 1996. Projects may begin any time after November 1, 1996.

Heritage & Preservation (continued)**How to Apply**

For application instructions, see “How to Apply” on pages 31-34 and “Special Application Requirements for Heritage & Preservation” on pages 35-36.

EDUCATION & ACCESS

The Arts Endowment believes that all Americans should have opportunities to experience the arts — as learners, as makers of art, and as audience members. For this reason, priority is given to education and access projects that broaden and deepen educational experiences for Americans of all ages and to projects that make the arts available to those Americans who lack adequate opportunities to participate in the arts.

Through this theme, the Endowment supports projects that seek to expose the widest public to excellence in the arts, while broadening understanding and appreciation of our heritage and culture. Access entails a deliberate effort to reach audiences that have not been reached before or that have been limited in their opportunities. It seeks to expand appreciation for and awareness of art forms to which exposure has been limited or nonexistent.

The arts constitute an important body of knowledge and skills that are learned and that should be an integral part of education. The arts also serve as powerful educational tools that improve cognition, increase confidence and communication, and enhance the overall learning environment for students. With lifelong learning in the arts as an overall concept, education in the arts includes pre-K through grade 12 and post-secondary programs, career development, teacher training, master-apprentice relationships, and culturally specific traditions of learning.

Education & Access projects may include, but are not limited to:

- Touring performances and exhibitions and other activities that are designed to reach populations which ordinarily would not have the opportunity to participate in such events. Works may be in any art form: visual, performing, design, media, literature, etc. (See also Creation & Presentation on pages 18-19.)
- Curriculum-based arts instruction for students in grades pre-K through 12 that provides substantive and sequential learning in the arts. Such projects should involve the combined efforts of arts organizations, artists and schools, as appropriate.
- Instruction (not for academic credit) that is offered by arts organizations or artists that provides sequential learning in the arts over an extended period of time.
- Activities, such as the distribution of publications, that provide access to underexposed art forms.

Education & Access (continued)

- Activities which extend the work of older, disabled and/or ethnically diverse artists to the general public.
- Master classes, workshops and apprenticeship programs.
- Lecture series and symposia that are not a part of the regular curriculum of colleges and universities.
- Curriculum development, including interdisciplinary (between disciplines in the arts) or integrated (between the arts and other academic subjects) instructional programs.
- Training and development for artists and/or teachers that enhances their skills relating to arts education.
- Program evaluation and/or assessment of student learning.
- Outreach projects which engage diverse communities in partnerships.
- Activities that build coalitions to support the arts as an integral part of education reform.
- National broadcast of significant television or radio programs on the arts. (See also Heritage & Preservation on pages 11-13 and Creation & Presentation on pages 18-19.)
- Innovative uses of technologies to improve teaching and learning in the arts or to make the arts more widely available.

The Endowment regards the direct involvement of artists and, where appropriate, the use of original works of art as crucial elements in excellent Education & Access projects. Projects may be interdisciplinary and/or multidisciplinary and involve partnerships with both arts and non-arts institutions or organizations. The Endowment encourages applications which propose new approaches and have the potential to serve as model projects.

Review Criteria

The following criteria are considered during the review of applications:

Artistic excellence and artistic merit of the proposed project and the applicant organization, including the:

- Quality of the artists and, where appropriate, the works of art that are involved in the project.
- Evidence that the project has been thoughtfully designed to ensure that it will be engaging, challenging, and sensitive to the cultural context of the population to be served.
- Evidence of direct payment of participating artists and arts professionals.

Impact of the project, including the:

- Potential of proposed education projects to demonstrate the effectiveness of the arts in education or to further the arts as a basic subject.
- Potential of the proposed project to broaden and/or deepen public knowledge, understanding and appreciation of the arts.
- Need for and appropriateness of the project in terms of the targeted population, including:
 - The degree to which the targeted population is included in the project planning, implementation and evaluation, as appropriate.
 - The appropriateness of the curriculum and instructional strategies, and the quality and usefulness of the materials to be developed, if relevant.
- Where appropriate, the potential of the proposed project to reach underserved populations such as those in rural areas, culturally-diverse or culturally-specific communities, and individuals with disabilities.

Ability to carry out the project, including the:

- Clarity of the project goals and design.
- Qualifications of the artists, the teachers (where relevant), and other key project personnel.
- Evidence of effective collaboration among the relevant participants, both individuals and organizations.
- Appropriateness of facilities, equipment and site(s), as relevant.
- Appropriateness of the budget for the proposed activities.
- Organizational stability and fiscal responsibility.
- For education projects, evidence of the applicant's past and continuing commitment to education through organizational leadership, staffing, budget, programming and community involvement.
- Completeness and clarity of the application package, including all narratives, work samples and support materials.

Education & Access (continued)**Grant Amounts and Matching Funds**

Grants generally range from \$5,000 to \$200,000 and require a match of at least 1 to 1.

Deadline and Announcement Dates

Submit the completed Intent to Apply card from the back cover of this booklet by February 5, 1996.

Complete application packages must be postmarked no later than March 4, 1996. Notification of awards and rejections will be made by mail only, and not before January 1997. Projects may begin any time after March 1, 1997.

How to Apply

For application instructions, see "How to Apply" on pages 31-34 and "Special Application Requirements for Education & Access" on pages 36-37.

CREATION & PRESENTATION

Through its Creation & Presentation theme, the Arts Endowment seeks to nurture American culture in all its variety. **Support is available for artistic work of all cultures and periods, i.e., Presentation projects do not have to involve new work(s).** This theme recognizes the role of both individuals and organizations in sustaining and making available to the American public our rich cultural legacy and artistic creativity in all their forms.

Projects may range from the creation of new works to the presentation of existing works. Projects might provide the resources, time and space for artists to create a specific work or body of work. Or, they might present art, of any period and in any arts discipline, to audiences through a diverse range of activities in formal or informal settings.

Creation & Presentation projects may include, but are not limited to:

- The creation/development of specific work(s).
- Commissions.
- Residencies.
- Rehearsals.
- Workshops.
- Performances.
- Exhibitions.
- Festivals.
- Literary publishing.
- Design charettes.
- Touring. (See also Education & Access on pages 14-17.)
- Production and/or broadcast of creative film, video and audio works. (See also Education & Access on pages 14-17.)
- New technologies that assist in the creation and/or presentation of work.

Review Criteria

The following criteria are considered during the review of applications:

Artistic excellence and artistic merit of the proposed project and the applicant organization, including the:

- Quality of the proposed artists and/or works of art that are involved in the project.
- Artistic vision and programming of the applicant organization.
- Evidence of direct payment of participating artists and arts professionals.

Impact of the project, including the:

- Potential of the proposed project, where appropriate, to enhance public appreciation of the art form, the art work and/or the artist.
- Quality and usefulness of related publications and educational and outreach activities, where appropriate.
- Potential of the proposed project to contribute, long-term, work of artistic value to the creative legacy of the nation.
- Where appropriate, the potential of the proposed project to reach underserved populations such as those in rural areas, culturally-diverse or culturally-specific communities, and individuals with disabilities.

Ability to carry out the project, including the:

- Quality and clarity of the project plans.
- Appropriateness of the proposed project to the organization's mission and audiences.
- Qualifications of staff.
- Appropriateness of facilities, equipment and site(s), as relevant.
- Appropriateness of the budget for the proposed activities.
- Organizational stability and fiscal responsibility.
- Completeness and clarity of the application package, including all narratives, work samples and support materials.

Grant Amounts and Matching Funds

Grants generally range from \$5,000 to \$200,000 and require a match of at least 1 to 1.

Deadline and Announcement Dates

Submit the completed Intent to Apply card from the back cover of this booklet by February 20, 1996.

Complete application packages must be postmarked no later than April 3, 1996. Notification of awards and rejections will be made by mail only, and not before March 1997. Projects may begin any time after May 1, 1997.

How to Apply

For application instructions, see "How to Apply" on pages 31-34 and "Special Application Requirements for Creation & Presentation" on pages 38-41.

PLANNING & STABILIZATION

The Arts Endowment recognizes that there is a continuing struggle on the part of America's arts organizations, large and small, to achieve stability in an unstable environment, and that arts organizations are engaged in various efforts to develop structures that will enable them to carry on their work effectively and creatively.

Planning & Stabilization support therefore seeks to help eligible organizations:

- Clarify and strengthen their identities and missions.
- Build their capacity and resources for the execution of such missions.
- Build resilience and disciplined flexibility to adapt to today's funding circumstances.
- Sustain the arts in an era of constant and profound change.
- Build partnerships which strengthen the arts infrastructure.
- Develop new partners and resources (including new private and/or public money) to support the arts.

Planning & Stabilization offers assistance to applicants to assess carefully their organizational strengths, weaknesses and financial health. Projects can also focus on strategies for building partnerships and resources among a group of organizations that are linked by geography, programming, mission, etc. Projects can focus on organizational planning, stabilization or both.

Planning can be comprehensive or targeted.

- Comprehensive planning for organizations entails evaluating the mission, the connections that link all activities (current or future) to that mission, and the effectiveness of activities undertaken in pursuit of the mission. Comprehensive planning can include all areas of operation: governance, programming, financial management, marketing, community relations, personnel, etc. It also can examine an organization's effectiveness in its community (geographic or otherwise) or in its field.
- Targeted planning involves evaluating a specific activity or discrete set of activities within the context of an organization's overall activities and mission. Examples of targeted planning include marketing analysis or developing plans for cash reserves or an endowment. An organization might also examine the best way to integrate technology into the organization's operations or study the feasibility of expanding or reducing its facility.

Planning & Stabilization (continued)

Stabilization assists organizations to strengthen their capacity internally or within an arts field; adapt to the realities of their potential audiences and communities by reaching an appropriate size; and maximize and diversify their resources.

Planning & Stabilization projects may include, but are not limited to:

- Technical assistance (including fees for consultants), to help arts organizations develop long-range plans; improve the skills of staff members; or otherwise strengthen their capabilities or those of their fields.
- Projects to enhance earned income through the creation or development of products and/or services.
- Efforts to identify and target potential audiences, and to streamline box office operations, through an improved use of technology.
- Other income- or capacity-building projects that contribute to organizational strengthening.
- Community planning, possibly spearheaded by a local arts agency, to examine the feasibility of a new or enhanced performing/presenting venue that would serve arts organizations and audiences throughout the community.
- Development of a consortium or other alliance of organizations that come together to share expertise and resources.
- Collection and dissemination, in computer-accessible form, of information on the range of arts resources and programming available throughout the community.
- Development, by a national service or other appropriate organization, of a model computer program for ticket sales, scheduling or marketing purposes that could be made available to arts groups.
- The acquisition of term endowment or term cash reserve funds. (See additional information on pages 23-24.)

Additional Eligibility Requirements

In addition to the Eligibility requirements for all organizations (see pages 5-8):

- All **Planning & Stabilization** applicants must have submitted acceptable Final Reports for all previous Challenge and/or Advancement grants before applying under this theme.
- **Stabilization** applicants must have a minimum annual operating expenditure level of \$200,000 (not including in-kind contributions) for the most recently completed fiscal year prior to submission of the application.

Planning & Stabilization (continued)

- There is no minimum annual operating expenditure level for organizations applying for **Planning** support only (except orchestras and opera companies, which must have an annual operating expenditure level of at least \$100,000).

An organization may not apply for a Stabilization grant if it plans to apply under the May 1, 1996 deadline for a National Endowment for the Humanities Challenge Grant. An organization may apply for an NEH Challenge Grant and for planning support under this theme.

Organizations are not eligible for endowment or cash reserve stabilization grants if: 1) there is a deficiency in the unrestricted net assets that exceeds 15% of their current operating expenses; **or** 2) they have been awarded, during the preceding five fiscal years, Challenge Grants from the Arts Endowment intended wholly or in part for endowment or cash reserves.

Review Criteria

The following criteria are considered during the review of applications:

Artistic excellence and artistic merit of the applicant organization.

Ability to carry out the project, including the:

- Clarity of the project goals and design.
- Qualifications of key staff and/or consultants who will carry out the project.
- Relationship of the proposed activity to the applicant's mission, history and current environment.
- Applicant's readiness to accomplish the project.
- Need for and appropriateness of the project in terms of the organization's/field's current condition.
- Evidence of effective collaboration among relevant participants, if appropriate.
- Efforts to engage other funders, if appropriate.
- Appropriateness of the budget for the proposed project.
- Organizational stability and fiscal responsibility.
- Completeness and clarity of the application package, including all narratives, work samples and support materials.

Impact of the project, including the:

- Potential impact on the organization and its ability to carry out its mission.
- Potential impact on audiences, artists and the artistic community.
- Where appropriate, the potential of the proposed project to reach underserved populations such as those in rural areas, culturally-diverse or culturally-specific communities, and individuals with disabilities.

Planning & Stabilization (continued)**Grant Amounts and Matching Funds**

Grants generally range from \$15,000 for planning projects and \$40,000 for stabilization projects to \$500,000. Grants must be matched as follows:

- All Planning & Stabilization grants of \$100,000 or less require a match of at least 1 to 1.
- All Planning & Stabilization grants between \$100,001 and \$250,000 require a match of at least 3 to 1.
- All Planning & Stabilization grants between \$250,001 and \$500,000 require a match of at least 5 to 1.

Organizations that receive Planning & Stabilization grants for endowments or cash reserves may not use in-kind contributions or unrealized gains as matching funds.

Deadline and Announcement Dates

Submit the completed Intent to Apply card from the back cover of this booklet by February 20, 1996.

Complete application packages must be postmarked no later than April 3, 1996. Notification of awards and rejections will be made by mail only, and not before March 1997. Projects may begin any time after May 1, 1997.

How to Apply

For application instructions, see "How to Apply" on pages 31-34 and "Special Application Requirements for Planning & Stabilization" on page 41.

Additional Information on Term Endowments and Term Cash Reserves

Term Endowments: Federal and matching funds that are placed in endowments must remain intact and must be separately disclosed in the organization's audited financial statements for the length of the grant period and for a minimum of 10 years after the grant end date. Only earnings may be used for operations, programs or reinvestment in the fund portfolio.

Term Cash Reserves: Federal and matching funds that are placed in cash reserves are intended to provide short-term capital, and subsequently to be replenished. Repayment must take place within two years from the date of borrowing. Cash reserve funds must be held in cash, cash equivalents or marketable securities. The board of an applicant organization must adopt policies and procedures that will insure any Federal and matching funds that are placed in cash reserves (including "quasi-endowment," and "working capital" funds) are replenished. Financial statements must disclose (as temporarily restricted) the acquisition, borrowing and repayment of Federal and matching cash reserves for a minimum of 10 years after the grant end date.

Term Endowments and Term Cash Reserves: Grantees must make all necessary legal arrangements to secure endowments or maintain cash reserves for the required term. The Arts Endowment places no restrictions on the expenditure of income derived from the endowment or cash reserve funds.

Important Information for All Applicants

What Happens to Your Application

The Arts Endowment seeks to encourage projects of substantial artistic and cultural significance that reflect American creativity, professional excellence and cultural diversity. Applications are evaluated against the review criteria for their theme as set forth in these guidelines. The Endowment's authorizing statute also advises the agency that public funding of the arts should foster mutual respect for the diverse beliefs and values of all persons and groups.

After applications are received at the Endowment, they are processed by staff. Applications then go through the following procedures:

1. First level of review, in closed session, by experts in a discipline field or fields (e.g., music, theater, dance) related to the proposed projects. Any discussion of policy and procedures will occur in open session.
2. Second level of review by advisory panelists in the appropriate theme area. Each panel comprises a diverse committee of arts experts and at least one knowledgeable layperson. Panel membership rotates regularly. The panel reviews applications in closed session. In open session, the panel also provides guidance on policy and procedures and on the guidelines for coming years.
3. Third level of review, in open session, of the advisory panel's recommendations by the 26-member, presidentially-appointed National Council on the Arts. The Council's decisions to reject applications are final. The Council sends forward to the Chairman of the Arts Endowment those applications that it recommends for funding.
4. Final decision by the Chairman of the National Endowment for the Arts as to which of those applications that were recommended by the National Council will be funded.

When this process is completed, applicants are notified in writing of funding decisions. **Please do not seek information on the status of your application before the notification date that is listed inside the front cover of these guidelines.**

After notification, applicants having questions may contact the Arts Endowment staff in the appropriate theme area. Any denied applicants who want an explanation of the basis for denial must contact the Endowment no later than 30 days after the official notification. Applicants are also welcome to attend meetings of the National Council on the Arts and open sessions of advisory panel meetings.

Access for Individuals with Disabilities

The achievement of access for individuals with disabilities, as directed by Federal law, frequently requires long-range planning and budgeting. The Arts Endowment encourages applicants to consider access issues as an integral part of their planning for both programs and facilities. Program accommodations for individuals with various disabilities (e.g., audio description, sign language interpreters, cassette recordings of printed materials, and large print labeling) generally are eligible project costs. For more information, contact the Office for AccessAbility at 202/682-5532 or 202/682-5496 Voice/T.T. or the Endowment's Office of Civil Rights at 202/682-5454 or 202/682-5695 Voice/T.T. (Text-Telephone, a telephone device for individuals who are deaf or hard-of-hearing).

Site Visits

The Arts Endowment may at its discretion arrange for discussions or site visits with some applicants as a part of the review of applications. If you are scheduled for a site visit, you will be notified in advance. The information that is gathered will be one of a number of items to be considered in the review of applications. Applicants may be asked to provide two complimentary tickets for the purpose of project and organizational evaluation.

Grant Amounts

Submit a realistic budget for your proposed project; apply only for what you need. Budgets will be examined carefully during the review of applications. The Arts Endowment reserves the right to support a particular portion(s) of the project described in the application.

If you have received or applied for FY 1996 Arts Endowment funds under the old structure, do not apply for the same project or costs under the new theme structure. Grant funds from more than one Arts Endowment category or theme may not be used for the same expenses.

Applicants whose grants are recommended at less than the amount requested may be asked to revise the project budget. Applicants may need to reduce the scope of the project or find more funds from sources other than the Endowment. The project scope must correlate to the revised budget figures and must provide current information on the specific activities for which Arts Endowment support is requested.

Grant amounts are subject to annual Congressional appropriations and the availability of funds.

Matching Funds

Grants to organizations may be used to pay no more than half of the project costs. Each grantee must match the Arts Endowment's funds on at least a 1 to 1 basis. (More stringent requirements are in effect for certain Planning & Stabilization grants; see page 23.)

Important Information for All Applicants (continued)

The required matching funds should come from cash contributions, earned income and other non-Federal grants. Documented in-kind contributions (such as donated space, supplies and services) may also be used as part of the match. There is one exception: Organizations that receive Planning & Stabilization grants for endowments and cash reserves may not use in-kind contributions or unrealized gains as matching funds.

Methods of Funding for Organizations

Grants under these guidelines are made from both Program and Treasury Funds. **Program Fund** grants to organizations must be matched at least 1 to 1 by non-Federal funds.

Treasury Fund grants must be matched with at least three non-Federal dollars for each Federal dollar. The grantee is required to certify to the Arts Endowment that it has secured a portion of the match (pledges, cash and in-kind contributions, and earned income) before the Treasury Funds are released. If you are recommended for a Treasury Fund grant, staff will contact you with details.

Period of Support

Grants awarded under these guidelines may cover a period of support of up to two years. **Allow sufficient time to plan, execute and close out your project.**

Changes in Projects

Grantees are expected to carry out a project that is consistent with the proposal that was approved for funding by the Arts Endowment. If changes in the project are believed to be necessary, the grantee must send a written request, with justification, to the Endowment. The Arts Endowment's Grants Office will notify the grantee in writing as to the Endowment's determination on its request. Approval is not guaranteed.

Continuing Support

Grants are made for specific projects, not for continued organizational support. Each year applications are reviewed on their merits and in competition with other applications submitted. A grant awarded in one year does not imply Arts Endowment support, or a grant in the same amount, in subsequent years.

Important Information for All Applicants (continued)

Reporting Requirements

Progress Reports: The Arts Endowment requires Progress Reports from grant recipients. Details will be provided with the grant award package.

Final Reports: At the end of the grant period, the Arts Endowment requires acceptable Final Report packages from all grantees. Complete instructions will be provided with the grant award package.

Grantees who fail to submit required Final Reports on any Arts Endowment grant(s) are ineligible to receive funding for five years following the Final Report due date(s) unless the delinquent Final Report packages are submitted earlier. The acceptability of Final Report packages may also affect eligibility. To maintain or reestablish eligibility, immediately mail any delinquent Final Reports to:

Grants Office/Final Reports Section
National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001

Do not include Final Reports as part of your new application package.

Acknowledgment of Endowment Support

All grantees must credit the National Endowment for the Arts in all published materials and announcements regarding the project. Details will be provided with the grant award package.

Proof of Mailing

It is the applicant's responsibility to document that the application was postmarked by the Application Postmark Date; we strongly recommend that you send materials "return receipt requested," which will serve as your immediate notification (and postmark proof) that the materials have reached the Arts Endowment's Information Management Division. **Without proof of mailing, the Arts Endowment will not accept applications that are delayed or lost in the mail.**

Lobbying

Grantees may not use Arts Endowment funds for general political lobbying or for lobbying to obtain grants.

If you are recommended for a grant of more than \$100,000, Section 319 of Public Law 101-121 applies. This law establishes additional restrictions on lobbying. The Arts Endowment's Grants Office will contact you with further information as necessary.

General Terms & Conditions

Federal and agency requirements that relate to grants awarded by the National Endowment for the Arts are highlighted in our *General Terms & Conditions for Grants to Organizations*, which is sent to all grantees in the grant award package.

Environmental Assessments

42 U.S.C. section 4332, the National Environmental Protection Act (NEPA), requires Federal agencies to make, when necessary, an environmental assessment before undertaking a major Federal action. The Arts Endowment may ask applicants for information which would be used to determine whether or not an environmental assessment is necessary.

Arts and Artifacts Indemnity Act of 1975

The Arts and Artifacts Indemnity Act of 1975 (20 U.S.C. 971) authorizes Federal indemnification for international exhibitions. For guidelines and application information, contact:

Indemnity Administrator
National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001

World Wide Web

The Arts Endowment's World Wide Web site will open in late January 1996. The site will feature articles on art and culture, current information on the restructured agency, links to other arts sites, and an arts information resource center. The URL is <http://arts.endow.gov>.

Reporting Burden

Public reporting burden for this collection of information is estimated to average 35 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The Arts Endowment welcomes any suggestions that you might have on improving the guidelines and making them as easy to use as possible. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Office of Guidelines and Panel Operations, Room 516, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506-0001; or to the Office of Management and Budget, Paperwork Reduction Project (3135-0112), Washington, DC 20503.

Legal Requirements

By law, the National Endowment for the Arts may support only those organizations that:

- **Are tax-exempt¹.** Organizations qualifying for this status must meet the following criteria:
 - (1) No part of net earnings may benefit a private stockholder or individual.
 - (2) Donations to the organization must be allowable as a charitable contribution under Section 170(c) of the Internal Revenue Code of 1954, as amended. A copy of the IRS determination letter, or of the official document identifying the applicant organization as a unit of either state or local government, must be submitted with each application.
- **Compensate all professional performers and related or supporting professional personnel on Arts Endowment-supported projects at no less than the prevailing minimum compensation** as defined by the Secretary of Labor in part 505 of Title 29 of the Code of Federal Regulations. A copy of these regulations is available from the Endowment's Grants Office upon request.
- **Assure that no part of any Arts Endowment-supported project will be performed or engaged in under working conditions which are unsanitary or hazardous or dangerous** to the health and safety of the employees involved.
- **Comply with the Federal requirements outlined in the "Assurance of Compliance" section** beginning on page 50. Included are the requirements for nondiscrimination on the basis of race, color, national origin, disability, age or sex.

¹Generally speaking, in American Samoa, Guam, the Northern Mariana Islands, and the U.S. Virgin Islands, U.S. tax laws have an application similar to that in the United States. However, in the Commonwealth of Puerto Rico, owing to special income exemptions, the application differs. Nevertheless, arts organizations in all these areas should be aware of their need to obtain tax-exempt status in order to qualify for Endowment support. For further information concerning this matter, write the Internal Revenue Service's Exempt Organizations Office, 31 Hopkins Plaza, Baltimore, Maryland 21201 or call the IRS's Technical Assistance Office at 800/829-1040 or 410/962-2590.

How to Apply

All organizations must follow carefully the instructions below. It is each applicant's responsibility to make certain that their application package is complete and as specific as possible. Because of the Endowment's greatly reduced staff, we may be unable to contact you in case of omissions or inconsistencies in your submission.

If new information that affects your application becomes available after the deadline, please send that information directly to the theme office under which you have applied. Endowment staff will make every attempt to include updates that are sent within a reasonable time after the deadline in the application review process. Be sure to include your application number on any such updates; your application number will be provided on the Application Acknowledgment Card that the Endowment will send you upon receipt of your application package.

All application packages must be sent to:

Information Management Division
[Theme/Discipline under which you are applying, e.g., Creation & Presentation/Dance (see #s 5 and 6 on page 45).]
National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001 (Overnight Mail Zip Code: 20004)

- All application materials must be typed using a point size of at least 10 points. **Handwritten applications, late applications and applications that are determined to be incomplete will be rejected.**
- All supplementary materials (excluding work samples) must be submitted on 8-1/2 inch by 11 inch pages; all margins must be at least 3/4 of an inch.
- Do not submit two-sided copies.
- Do not bind or staple materials.

If you are a component of a college or university, your application must be authorized and submitted by the appropriate college/university office, e.g., the sponsored projects office.

Please submit the materials in the order and format noted below.

1. The completed Application Checklist on page xi in the separate booklet, "Application Forms," that accompanies these guidelines.
2. The completed Application Acknowledgment Card from the back cover of these guidelines.

How to Apply (continued)

3. **One copy** of the Internal Revenue Service determination letter for tax-exempt status or of the official document identifying the applicant as a unit of state or local government. Designated local arts agencies must also include a copy of the city/county ordinance, resolution, charter or contract assigning them the authority to operate on their local government's behalf.
4. **The original and two copies** of the Application Forms on pages i-vii of the "Application Forms" booklet. Instructions for completing this form are on pages 44-49 of these guidelines.

(Organizations that are eligible and intend to submit more than one application should retain their copy of this guideline book and contact the Endowment for an additional copy of the "Application Forms" booklet.)

5. **Two copies** of a narrative that addresses those items below that are relevant to your proposed project. Read the "Review Criteria" for the theme under which you are applying before you develop your narrative; remember that your application will be judged against these criteria. Put your organization's name at the top of every page.

I. Organizational Background (two-page maximum)

[NOTE: If you are a component of a larger organization (e.g., a presenting organization within a university), all information should refer to the component, not the larger entity.]

- a) The purpose and history of your organization.
- b) Your organization's programming/services and audiences/people served over the past four years. Give a **brief** overview of the full range of your activities, and provide two or three specific examples which can help demonstrate your organization's ability to carry out the proposed project.
- c) The general demographics (ethnicity, income and age) of the community/region/audience that you serve.
- d) Your organization's efforts to reach a broad segment of the community through programming, services, administration/staffing, marketing, etc.

II. Details on the Proposed Project (four-page maximum)

- a) A description of the proposed project and its goals; its significance on a national, regional, field-wide and/or community-wide basis; and its appropriateness to your organization.

How to Apply (continued)

Planning & Stabilization applicants should discuss the major challenges that currently face the organization; the major tasks to be accomplished; and how the proposed project fits within these priorities.

- b) The participating artist(s)/companies/works. Indicate whether they are committed or proposed, and, where relevant, how they have been involved in the development of the project. Describe the basis on which they have been selected or the qualifications that you seek.
 - c) The working process and the proposed timeline.
 - d) The division of responsibilities between artist(s) and organization, including any agreements as to the ownership of completed work, where relevant.
 - e) The intended audience(s). If your project is targeted to a specific population, describe your efforts to include that population in the planning for and implementation of the project. Where relevant, describe how the proposed project can 1) help reach underserved populations (including individuals with disabilities) and/or audiences that have not been served before; and 2) generally broaden public understanding of the arts.
 - f) The project site(s) and other resources (equipment, space, special supplies, etc.) to be utilized.
 - g) Plans to promote and publicize the project.
 - h) The relationship of the proposed project to what has been done on the same subject in the past, where relevant.
 - i) Plans for evaluation and dissemination of the finished project and/or the project results, where relevant.
 - j) The collaborative nature of the project, where applicable.
 - k) Plans to continue the project beyond the period of Endowment support, where applicable.
6. **Two copies** of biographies (one-half page maximum for each bio) of the key project-related personnel [e.g., the proposed artist(s), project director, artistic director, curator, editor, folklorist, conductor, etc.]. Biographies must be current and include the individual's length of service in the current position, if applicable. Resumes are not acceptable.

How to Apply (continued)

If your project involves support for a position that is not yet filled, provide a statement of qualifications and outline your plans for the continued financial support of the position after the Endowment's grant ends.

7. **Two copies** of evidence of commitment to the project by all collaborating partners, where relevant.

If your application is for a **consortium project**, include **two copies** of a binding written agreement between all consortium members, signed by each of them, that indicates the programming, management, and financial roles and responsibilities (including responsibilities for matching funds) of each.

8. **If your project is based on copyrighted material**, one copy of a signed statement that documents the assignment of rights to this particular project or publication.
9. **If you are submitting a work sample** (see the Special Application Requirements for your theme), **one copy** of the Work Sample Index on page ix of the "Application Forms" booklet.
10. **If you are a parent organization applying on behalf of an eligible component**, one copy of documentation that the component meets the eligibility criteria outlined on page 7. (Please be aware that by signing the application form, the Authorizing Official of your organization certifies the eligibility of any component on whose behalf an application is submitted.)

IN ADDITION, REVIEW THE APPLICATION REQUIREMENTS FOR THE THEME UNDER WHICH YOU ARE APPLYING. SUBMIT THE ITEMS LISTED THAT ARE RELEVANT TO YOUR PROPOSED PROJECT. If you are applying to:

Heritage & Preservation, see pages 35-36.
Education & Access, see pages 36-37.
Creation & Presentation, see pages 38-41.
Planning & Stabilization, see page 41.

Application packages, including all supplementary materials, must be postmarked no later than the deadline date for your theme that is on the Application Calendar inside the front cover of these guidelines. **No deadline extensions will be given.**

Materials submitted (including work samples) generally will not be returned. If specifically requested by the applicant, the Arts Endowment will attempt to return work samples. However, the Endowment cannot be responsible for any loss or damage.

Special Application Requirements for Heritage & Preservation

In addition to those materials that are required of all applicants (see “How to Apply” beginning on page 31), Heritage & Preservation applicants must also submit **one copy** of the following materials, as appropriate to the proposed project:

1. **For projects that utilize film, audio, video, and other media**, a proposed treatment of the subject (3 page maximum); a well selected media sample that demonstrates the ability of the media artist; and, wherever possible, a concise sample that exemplifies the artistic merit and significance of the subject to be documented. (See “How to Submit Work Samples” on pages 42-43.)
2. **For exhibitions**, a detailed, conceptually specific exhibition plan and as many as 20 slides documenting the artistic merit and significance of the proposed exhibition. (See “How to Submit Work Samples” on pages 42-43.)

Museums must also include a checklist (with artist, title, date, size, medium, lender and degree of commitment) of the works of art to be included. Also include publications, education programs and interpretive materials (brief samples only of proposed or past work).

3. **For publications** such as literary magazine and small presses, your most recent catalogue and four works that have been published by your organization within the past three years. Submit five pages of manuscript from each proposed work. Note the format; frequency of your publication; circulation/sales figures; numbers and rates of paid subscriptions; writers' fees and your current payment to authors policy; costs and anticipated revenues, etc., as appropriate.
4. **For projects involving design**, photographs, drawings, plans or other illustrations of the site, building or existing condition to be addressed, as appropriate to your project. Also include a one-page explanation of how the design will accommodate the needs of individuals with disabilities.
5. **For conservation projects**, as many as 20 slides documenting the artistic merit and significance of the collection(s)/object(s) to be conserved. For treatment projects, also include a proposal, signed by the conservator who will carry out the treatment, for each object. If more than one object is included in the project, list the objects in priority order. Discuss your plans for future exhibition of the objects. [Organizations applying for moving-image preservation projects should refer to #6 on page 36 rather than to this item.]

6. **For moving-image preservation projects**, a description of each work to be preserved including: 1) its major credits; 2) its significance as a 20th century work of art; and 3) its physical condition and status as best surviving material. Provide evidence of coordination with the archival field to assure non-duplication of effort and discuss your plans for future access/exhibition.
7. **For Heritage & Preservation projects not specified above**, a concise sampling of brochures, photographs, published articles or other audiovisual materials that are appropriate to the proposed project and that can enhance a reader's understanding. (See "How to Submit Work Samples" on pages 42-43.)

Special Application Requirements for Education & Access

In addition to those materials that are required of all applicants (see "How to Apply" beginning on page 31), Education & Access applicants must also submit **one copy** of the following materials, as appropriate to the proposed project.

1. **For touring performances or exhibitions**, a tentative itinerary and roster of artists/works/activities.
2. **For school, residency and touring projects**, letters of commitment/interest from host and/or collaborating organizations. (Please provide a representative sampling of such letters if your project involves more than five other organizations.)
3. **For curriculum-based arts instruction projects for K-12**, sample lesson plans, curricular frameworks and outlines, teachers' guides, report and program evaluation forms, and student assessment protocols or plans. Provide a concise sampling of representative materials. Place materials, under appropriate tabs, in a narrow loose-leaf notebook that includes the applicant organization's name on both its cover and spine.
4. **For cooperative projects**, contract or other partnership agreements and other key support letters.
5. **For projects that involve film, video or audio recording (including television and radio broadcast projects)**, one well selected media sample which is the work of the person(s) with primary artistic responsibility for the proposed project. (See "How to Submit Work Samples" on pages 42-43.)
6. **For exhibition activities** (film, video, visual arts, etc.), a detailed list of your proposed exhibition programs, including the works to be exhibited and, as relevant, artists scheduled for personal appearances. If an exhibition is to be circulated, list additional venues with dates and the degree of commitment. Note any special educational activities that are planned as part of the proposed project. See also #8 on page 37.

7. **For projects that involve music ensembles** (orchestra, chamber/jazz ensemble, chorus), a composite cassette (20 minutes maximum duration) of unedited performances which took place within the past two years and, where appropriate, were conducted by the music director. Include as the first selection, the piece which best represents the performance level of the ensemble. You do not need to include entire works; sections of movements are acceptable.

Include at least two contrasting selections representative of the ensemble's basic repertoire, size, and style. Include only the members of the applicant ensemble; do not include soloists. Choruses should include an a cappella section. Jazz ensembles should include samples of improvisation and full ensemble passages.

Label the cassette with the applicant's name; the repertoire (title of work/composer); conductor (if applicable); the performance dates, and for chamber and jazz ensembles, the names of the performers.

Music Festivals should submit a composite cassette (20 minutes maximum duration) which has been recorded at the festival, is representative of recent presentations, and features unedited performances by professional artists within the past two years. (See also "How to Submit Work Samples" on pages 42-43.)

8. **For projects that involve the visual arts**, as many as 20 slides representative of work to be included in the proposed project. Include a typed script that lists the artist, title, medium, date, and a brief description of each work. (See "How to Submit Work Samples" on pages 42-43.)
9. **For publications** such as literary magazine and small presses, your most recent catalogue and four works that have been published by your organization within the past three years. Submit five pages of manuscript from each proposed work. Note the format; frequency of your publication; circulation/sales figures; numbers and rates of paid subscriptions; writers' fees and your current payment to authors policy; costs and anticipated revenues, etc., as appropriate.
10. **For career development activities**, your organization's catalogue or bulletin for the current year and a list that provides the name and current professional affiliation(s) of participants from the past two years. Include a composite cassette (20 minutes maximum duration) of student performances where available and relevant to the proposed project. (See "How to Submit Work Samples" on pages 42-43.)
11. **For Education & Access projects not specified above**, a concise sampling of brochures, photographs (no more than five), published articles or other audiovisual materials that are appropriate to the proposed project and that can enhance a reader's understanding of the application.

Special Application Requirements for Creation & Presentation

In addition to those materials that are required of all applicants (see “How to Apply” beginning on page 31), Creation & Presentation applicants must also submit **one copy** of the following materials, as appropriate to the proposed project:

1. **A representative list** (in chronological order; two-page maximum) of artists/companies/projects/exhibitions/works that your organization has produced/presented and plans to produce/present to the public for the previous, current, and upcoming years. **PROVIDE EXAMPLES THAT EXEMPLIFY YOUR ABILITY TO CARRY OUT THE PROPOSED PROJECT.**

Note, as appropriate:

- The **titles** of the works/productions/exhibitions, etc. (Note whether each was developed/produced by your organization or whether it was originated elsewhere.)
- The **creator(s)**: choreographer, composer, playwright, librettist, visual artist(s), filmmaker, designer, etc.
- The **performing group(s)/company(ies)** [or individual performing artist(s) where appropriate], director, curator, etc. List any guest artists, soloists, or collaborating ensembles that were of key importance to the production/presentation.
- The **dates, locations(s)**, and the number of public performances/events. Include attendance figures where available.

[**Literary organizations** should provide the names and five-year publishing histories of proposed writers, guest editors and participants, and the qualifications which you seek.]

2. **A work sample and/or supplementary material** that conveys the artistic quality of your organization’s work and your organization’s ability to carry out the proposed project. Review the instructions below for guidance in choosing an appropriate work sample.
 - a) **If your project involves the creation of work**, submit an excerpt or excerpts of work by the primary creative artist(s). The primary creative artist is the individual (or individuals in the case of group or collaborative projects) who has responsibility for the artistic vision of the project. Work samples must be representative of current work and, wherever possible, convey a clear sense of the artist’s (artists’) conceptual approach to the proposed project. A project that is focused on a particular aesthetic, for example, should be supported by work samples which reflect that aesthetic. Similarly, applicants proposing group projects or collaborations should submit samples which demonstrate such work.

How to Apply/Special Application Requirements for Creation & Presentation (continued)

These samples should be submitted in the format that is most appropriate to the art form and within the context of our technical requirements (see additional instructions below and "How to Submit Work Samples" on pages 42-43). [NOTE: Theater companies should not submit work samples as described above; see 2 d. on page 40. Any other organizations that are applying for the creation of work but are unable to submit a sample of work by the primary artist(s) should include a brief explanation.]

- b) **If your project involves design** (e.g., the design of a building, interior or landscape; production of an urban design plan; or development of a graphic system), submit photographs, drawings, plans or other illustrations of the site, building or existing condition to be addressed, as appropriate to your project. Also include a one-page explanation of how the design will accommodate the needs of individuals with disabilities.
- c) **If your project is from a music ensemble** (orchestra, chamber/jazz ensemble, chorus), submit a composite cassette (20 minutes maximum duration) of unedited performances which took place within the past two years and, where appropriate, were conducted by the music director. Include as the first selection, the piece which best represents the performance level of the ensemble. You do not need to include entire works; sections of movements are acceptable. You need to fulfill this requirement as well as 2a. above if your application involves the creation of work.

Include at least two contrasting selections representative of the ensemble's basic repertoire, size, and style. Include only the members of the applicant ensemble; do not include soloists. Choruses should include an a cappella section. Jazz ensembles should include samples of improvisation and full ensemble passages.

Label the cassette with the applicant's name; the repertoire (title of work/composer); conductor (if applicable); the performance dates, and for chamber and jazz ensembles, the names of the performers.

Music Festivals should submit a composite cassette (20 minutes maximum duration) which has been recorded at the festival, is representative of recent presentations, and features unedited performances by professional artists within the past two years. (See also "How to Submit Work Samples" on pages 42-43.)

- d) **If your project is from a theater, opera, or musical-theater company**, submit a one-page statement from the Artistic Director that discusses the reasons for selecting the work(s) to be included in the project, and his or her artistic vision for the project. Wherever possible, also submit a one-page artistic statement that has been written by the primary creative artist(s).
- e) **If your project involves publishing** such as literary magazine and small presses, submit your most recent catalogue and four works that have been published by your organization within the past three years. Submit five pages of manuscript from each proposed work, if available. Note the format; frequency of your publication; circulation/sales figures; numbers and rates of paid subscriptions; writers' fees and your current payment to authors policy; costs and anticipated revenues, etc., as appropriate.
- f) **If your project involves film/video/audio production**, submit a video or audio sample which is a completed work that was created by the person(s) with primary artistic responsibility for the proposed project. If you are requesting money to complete a project, submit a sample of the work-in-progress as well as a completed work. If your project is a narrative production, include two copies of the script and a one-page plot synopsis. (See also "How to Submit Work Samples on pages 42-43.)
- g) **If your project involves film/video exhibition**, submit a detailed list of your proposed exhibition programs, including the works to be exhibited and artists scheduled for personal appearances. If an exhibition is to be circulated, list additional venues with dates and the degree of commitment.
- h) **If your project is in the visual arts**, submit as many as 20 slides depicting the breadth of work to be included in the proposed project. Include a typed script that lists the artist, title, dimensions, medium, date, and a brief description of each work. Note whether the works are those to be included in the project or representative examples. If you are applying for an exhibition that includes a catalogue, include a sample of the proposed written material as well, if available. If you are applying for a museum exhibition or reinstallation project, include a checklist (with artists, title, date, size, medium, lender and degree of commitment) of the works of art to be included in the project. (See also "How to Submit Work Samples" on pages 42-43.)

If your exhibition is to be circulated, provide a list of venues with dates and degree of commitment. **If works of art by living American artists are to be purchased** from the exhibition with grant funds, include these works of art in your slides and indicate the price of each. **If conservation treatment is planned** for works of art in the exhibition (such works must be owned by the applicant), submit a treatment plan signed by the conservator who will do the work. **If education and interpretive activities are to accompany the exhibition**, include brief sample materials that describe them.

Special Application Requirements for Planning & Stabilization

In addition to those materials that are required of all applicants (see “How to Apply” beginning on page 31), Planning & Stabilization applicants must also submit **one copy** of the following materials:

1. Financial statements that have been audited by an independent certified public accountant (CPA) for the most recently completed fiscal year. For public agencies, a financial statement signed by the agency’s comptroller will be sufficient. [Please note that this does not affect other state or local agency requirements for audits, nor does this satisfy or address the Federal Office of Management and Budget’s (OMB’s) audit requirements governing grantees.]

Form 990s, reviews, or compilations are not acceptable substitutes for the audit.

2. A list of current board members including board positions, professional affiliations, length of service to date, and term expiration date.
3. Brief support material (e.g., a list of your past year’s presentations or programming; up to 20 slides representative of your collection or recent exhibition activities; a brief video or audio sample, etc.) that documents the artistic excellence and merit of your organization’s activities. See “How to Submit Work Samples” on pages 42-43.
4. For applications for cash reserves and endowments, a timeline of gift solicitation and projected receipt of cash. Applicants will be notified if any additional information is needed.

How to Submit Work Samples

Given the large amount of material and the limited time available for the review of work samples, applicants are encouraged to prepare a well-organized presentation that documents the portion of their work that they would most like those evaluating their application to see and/or hear.

Review the Special Application Requirements for the theme under which you are applying before you prepare your work sample. Samples should be recent and as relevant to the proposed project as possible.

When submitting documentation, please be aware that the entire sample (not just the selected segment) is considered to be a part of the application package and may be reviewed.

Applicants intending to demonstrate advanced technologies should call the Arts Endowment before preparing a submission to determine whether the appropriate equipment will be available during application review.

All Work Samples

1. Label each sample clearly with the name of the applicant organization and the name(s) of the artist(s).
2. Using the Work Sample Index on page ix of the "Application Forms" booklet, provide a list of work samples submitted. Please credit key participants on submitted work samples.

Work samples generally will not be returned. The Arts Endowment will attempt to return work samples when specifically requested by the applicant. However, the Endowment cannot be responsible for any loss or damage.

Format for Submission

Audiotapes: Submit one composite cassette containing selections of work that is as relevant as possible to the proposed project. At the beginning of the tape, place the selection that you would most liked reviewed.

Work may be submitted on cassette or on DAT (digital audiotape). Use high bias chrome or metal tapes; do not use voice quality tapes unless you are applying for a spoken-word project. Note on the cassette whether or not you have used a noise reduction system and indicate what kind. Record works on one side only; do not exceed a total of 20 minutes.

How to Apply/How to Submit Work Samples (continued)

Label each cassette with the:

- Applicant's name and address.
- Name of artist(s)/company(ies) featured.
- Title of works.
- Dates of performances recorded, if applicable.
- Accumulated elapsed real time (e.g., Selection 1-0'00"; Selection 2-5'00"; Selection 3-7'30"; etc.).

Compact Discs: Indicate clearly on the Work Sample Index (page ix of the "Application Forms" booklet) which track(s) you would like to have heard, and in which order.

Slides: Slides should be submitted in a 9 inch by 11 inch clear plastic sheet. Slides must be 35 mm, suitable for carousel projection, numbered, and labeled with the project's and the artist's name, with the top of the slide indicated. Do not submit glass slides.

Each set of as many as 20 slides should be listed as one work sample on the Work Sample Index. Attach to the Work Sample Index (page ix) a list of the individual slides (indicating title, dimensions, medium, date and a brief description for each slide).

Videotapes: **Cue the videotape to the 3-5 minute section of the work that you would most like to have viewed. Tapes that are not cued will be reviewed for 3-5 minutes from the beginning of the tape.** Tapes must be 1/2 inch VHS or 3/4 inch cassette, recorded at standard play speed. One inch or 2 inch videotapes cannot be played for the reviewers, nor can videotapes in PAL/SECAM or other non-NTSC formats.

IMPORTANT: Please be sure the videotape is of a technical quality that can be easily seen and heard.

Completing the Application Forms

These instructions are keyed to the numbered sections of the application forms on pages i-viii of the "Application Forms" booklet.

All materials must be typed; handwritten applications will be rejected. Use a type size of at least 10 points (the size of this type).

APPLICATION FORMS -- PAGE i

1. LABEL.

- **Use the Arts Endowment Label** (if available). If this guideline booklet came with a National Endowment for the Arts peel-off label, attach that label in box 1. If it is present, it will be pink and have an Arts Endowment number directly above the organization's name (official IRS name*). Cross out any errors and print the correct information on the label. Add any missing items such as suite number and zip code information.
- **No Arts Endowment Label.** If you did not receive an Arts Endowment label, type your organization's name (official IRS name*), address, city, state and zip code in the space provided.

*The name provided here must be identical to the legal name in the IRS determination letter for tax-exempt status or in the official document identifying the organization as a unit of state or local government. If the applicant's popular name is different, note the popular name in parentheses after the legal name.

If you are acting as the fiscal agent for another organization, enter your name and address in the large box. In the smaller box, type in "FISCAL AGENT FOR" and the name of that organization.

If you are the parent institution acting on behalf of an eligible separate component, enter your name and address in the large box. In the smaller box, type in "ON BEHALF OF" followed by the name of the separate component.

If you are the lead member of a consortium, enter your name and address in the large box. In the smaller box, type in "CONSORTIUM LEAD APPLICANT" followed by a list of consortium members. Please attach a separate sheet if you need additional space.

2. EMPLOYER FEDERAL IDENTIFICATION NUMBER.

Enter the number assigned by the Internal Revenue Service; do not use a Social Security Number.

Completing the Application Forms (continued)

3. **TOTAL AMOUNT REQUESTED.** Indicate the amount requested from the Arts Endowment (must be rounded to the nearest \$100).

The total amount requested from the Arts Endowment should, when added to the total in item #19 on page iv ("Total match for this project"), equal item #12 on page ii ("Total project costs").

4. **ORGANIZATION TYPE.** Using the following list, select the one item that best characterizes your organization. Enter that numerical code on page i, #4, of the application form. **Choose only one.**

- | | |
|--------------------------------|-------------------------------|
| 01 Artists Community | 12 Museum |
| 02 Arts Education | 13 Music |
| 03 Arts Service Organization | 14 Musical Theater |
| 04 College/University | 15 Opera |
| 05 Dance | 16 Presenting Organization |
| 06 Design | 17 Regional Arts Organization |
| 07 Expansion Arts Organization | 18 State Arts Agency |
| 08 Folk & Traditional Arts | 19 State-wide Assembly |
| 09 Literary Organization | 20 Theater |
| 10 Local Arts Agency | 21 Visual Arts |
| 11 Media Arts | 22 Non-Arts Organization |

5. **THEME OF PROJECT/THEME UNDER WHICH YOU ARE APPLYING.** Using the following list, select the theme under which you are applying. Enter that numerical code on page i, #5, of the application form. **Choose only one:**

- 001 Heritage & Preservation
- 002 Education & Access
- 003 Creation & Presentation
- 004 Planning & Stabilization

6. **DISCIPLINE MOST RELEVANT TO YOUR PROJECT.** Using the following list, select the one discipline that is most relevant to your **proposed project**. (These designations do not refer to programs and/or categories of the Arts Endowment; they are for project identification only.) If there is more than one dominant discipline, choose multidisciplinary. **Choose only one.** Enter that numerical code on page i, #6, of the application form.

- | | |
|---|--|
| 23 Dance | 29 Opera |
| 24 Design | 30 Theater |
| 25 Literature | 31 Visual Arts, including painting, photography, sculpture, crafts, works on paper, other genres |
| 26 Media Arts, including film, television, radio, audio art | 32 Multidisciplinary |
| 27 Music | |
| 28 Musical Theater | |

7. **TOTAL PROJECT COST** represents all expenses toward which National Endowment for the Arts funds, if awarded, and matching funds could be applied. See also item #12.
8. **PERIOD OF SUPPORT REQUESTED** is the span of time that is necessary to plan, execute, and close out the proposed project. Use two-digit numerals, e.g., 11/01/96 to 05/30/98 for November 1, 1996 to May 30, 1998.
9. **PROJECT DIRECTOR** is the individual who is most knowledgeable about this application. Please include an area code and telephone number. If you have a FAX number, E-mail address, and/or WWW, supply that information as well.
10. **AUTHORIZING OFFICIAL** is the name of the official of the applicant organization with legal authority to obligate the organization. Please include an area code and telephone number and sign where indicated. If your organization has more than one authorizing official, see #22 on page 49.

By signing this cover sheet, the authorizing official certifies that the information contained in the application, including all attachments and supporting materials, is true and correct to the best of his/her knowledge, and that the organization will comply with the requirements outlined in the "Assurance of Compliance" section of these guidelines.

If the application is on behalf of a separately identifiable and independent unit, the authorizing official also certifies that this unit meets the eligibility criteria for independent components that are outlined on page 7.

APPLICATION FORMS -- PAGE ii

11. **PROJECT DESCRIPTION.** Describe clearly and concisely how the requested and matching funds will be spent. **In the first sentence, you must identify the specific project or activity for which Arts Endowment support is requested;** more detail should be provided in subsequent sentences. You must limit your project description to the space provided. Use a point size of at least 10 points. Do NOT photoreduce to try and include additional words.
12. **SUMMARY OF ESTIMATED COSTS** is a restatement of direct costs and indirect costs as shown on the application form. See item #13 for further explanation.

APPLICATION FORMS -- PAGE iii**BREAKDOWN OF "SUMMARY OF ESTIMATED COSTS" —**

Direct costs are those which can be specifically identified with the project.

- 13. DIRECT COSTS: Salaries and wages** must be estimated at rates no less than the prevailing minimum compensation as set out in the code of Federal Regulations. See "Legal Requirements" on page 30. Include artist compensation if artists are paid on a salary basis. (Do not include incidental items, such as artist transportation and housing.) When listing salaries as a project expense, be sure to cite the number of personnel, the salary range, and the percentage of time devoted to the project where indicated. Fringe benefits may be included here only if they are not included as indirect costs. Do not include salaries and wages incurred in connection with fundraising.

Fringe benefits are those costs other than wages or salary made to an employee, as in the form of pension, insurance, etc.

- 14. DIRECT COSTS: Supplies and materials** include consumable supplies, raw material for the fabrication of project items, and items that cost less than \$5,000 per unit or have an estimated useful life of one year or less. List each major type separately.
- 15. DIRECT COSTS: Travel** must be estimated according to the applicant's established travel practice, providing that the travel cost is reasonable and all travelers use transportation costing no more than air coach accommodations. Foreign travel, if any is intended, must be specified in this section and must be in conformance with government regulations. If Arts Endowment funds are received for foreign travel, such travel must be booked on a U.S. air-carrier when this service is available.

APPLICATION FORMS -- PAGE iv

- 16. DIRECT COSTS: Permanent equipment** includes purchased equipment that costs \$5,000 or more per unit and has an estimated useful life of more than one year. Written justification is required and should include a brief description of the items and technical specifications where relevant.

17. DIRECT COSTS: Fees for services and other expenses

include consultant and artist fees, honoraria, contractual services, rental of space or equipment, telephone, photocopying, postage, and transportation of items other than personnel. Include artist compensation if artists are paid on a fee basis. With consultant and artist fees, honoraria, or contracts for personal or professional services, please specify the number of persons and the applicable fee, rate, or amount of each. For films, catalogues, and other major expenses, provide a breakdown of costs. Do not include fundraising, entertainment, fines and penalties, bad debt costs, contingencies, miscellaneous, or costs incurred before the beginning of the official grant period.

NOTE: Costs of program accommodations for artists and audience members with various disabilities (e.g., sign language interpreters, cassette recordings of printed materials, large print labeling, audio description, hearing amplification systems) are generally eligible project costs.

18. INDIRECT COSTS are those costs incurred for common or joint objectives and not readily assignable to specific activities. They may be computed by the application of an indirect cost rate established as a result of negotiation with the Office of Inspector General, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506-0001, or another Federal agency. If you indicate any indirect costs, you must include a copy of the negotiated agreement with your application.

19. TOTAL MATCH FOR THIS PROJECT. The Arts Endowment generally requires each applicant to obtain at least half the total cost of each project from non-Federal sources. (Some grants require a 3-to-1 or 5-to-1 match.)

- A. Cash match** refers to the cash donations anticipated for this project.
- B. In-kind contributions** are calculated at the verifiable fair-market value of integral and necessary goods and services directly benefiting and specifically identifiable to the project. **In-kind contributions must also be reflected in the project's total direct costs.** Identify sources.
- C. Grants** include all or a pro rata share of anticipated grants either wholly or partially restricted for use on this project. **Do not list any Arts Endowment or other Federal grants anticipated or received.** A grant is generally characterized by written authority to spend up to a specified amount of money for specified purposes. Identify sources.

Completing the Application Forms (continued)

- D. Revenues** include all other funds, regardless of source, expected to be used on this project. Identify sources.

APPLICATION FORMS -- PAGE v

- 20. FINANCIAL INFORMATION.** Provide the requested information for your entire organization (or eligible/applicant component) for the most recently completed fiscal year, the current fiscal year, and the next fiscal year (projected). Please include a separate sheet to explain: 1) plans for reducing a deficit or utilizing a surplus and 2) other net adjustments.
- 21. DELINQUENT DEBT.** The applicant certifies that the organization is not delinquent on any Federal debt or, if it is, provides explanatory information. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances*, and benefit overpayments.

*Recipients of a "Notice of Grants Cost Disallowance" letter who have not repaid the disallowed amount or who have not resolved the disallowance are considered to be delinquent.

- 22. ADDITIONAL AUTHORIZING OFFICIAL.** If applicable, please have any additional Authorizing Official sign here. Do not duplicate the Authorizing Official listed on page i.

APPLICATION FORMS -- PAGE vi**23. APPLICATION SELF-IDENTIFICATION FORM**

Please choose the most appropriate item in each of the categories (A. through F.) and place that code (either numeric or alphabetic) within the corresponding space. Use the code designations on page vii of the "Application Forms" booklet to complete this form.

NOTE: THE REQUESTED INFORMATION IS OPTIONAL. IT WILL NOT BE USED IN THE APPLICATION REVIEW PROCESS, AND IS NOT A PRECONDITION FOR FUNDING.

Assurance of Compliance

By signing the application form, the Applicant assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below (pages 50-51) and all related Arts Endowment regulations. The Arts Endowment may conduct a review of your organization to ensure that it is in compliance.

This Assurance of Compliance covers all financial assistance from the Arts Endowment in connection with any grant that may be awarded as a result of this application. The United States government has the right to seek judicial enforcement of this assurance, which is binding on the Applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

1 Nondiscrimination Statutes

The Applicant certifies that, in undertaking any activities with grant funds, it will not discriminate:

- On the grounds of race, color, or national origin, in accordance with **Title VI of the Civil Rights Act of 1964**, as amended (42 U.S.C. 2000d et seq.).
- On the grounds of disability, in accordance with **Section 504 of the Rehabilitation Act of 1973** (29 U.S.C. 794) and the **Americans with Disabilities Act of 1990** ("ADA") (42 U.S.C. 12101-12213). [Grantees must have on file a self-evaluation of their 504 compliance. A Program Evaluation Workbook, which may be used for this purpose, is available from the Arts Endowment's Office of Civil Rights and is sent to all grantees.]
- On the basis of age, in accordance with the **Age Discrimination Act of 1975** (42 U.S.C. 6101 et seq.).
- On the basis of sex, under any education activity, in accordance with **Title IX of the Education Amendments of 1972** (20 U.S.C. 1681 et seq.).

The Applicant must comply with the above nondiscrimination regulations during the period of any Federal support. There are two exceptions for property acquired with Endowment assistance. The grantee must comply for as long as it retains ownership or possession of personal property (such as equipment) or for as long as real property (land and buildings) is used for the grant or similar purposes.

For copies of the nondiscrimination regulations identified above, and for any questions relating to compliance, contact the Office of Civil Rights (see below).

For information and technical assistance geared to making your facilities and programs accessible to individuals with disabilities, contact:

Office for AccessAbility
National Endowment for the Arts
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001
(202/682-5532 or
202/682-5496 Voice/T.T.)

Office of Civil Rights
National Endowment for the Arts
1100 Pennsylvania Avenue, N.W.
Washington, DC 20506-0001
(202/682-5454 or
202/682-5695 Voice/T.T.)

2 Regulations relating to Debarment and Suspension (45 C.F.R. pt. 1154)

The Applicant must certify that neither it nor its principals:

- (a) Is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in covered transactions by any Federal department or agency.
Debarment is an action taken by a Federal agency to exclude an organization or an individual from participating in a Federal grant or contract.

Assurance of Compliance (continued)

Suspension of a grant is an action taken by a Federal sponsoring agency to suspend temporarily the Federal sponsorship pending (1) corrective action by the grantee, or (2) a decision by the Federal agency to terminate the grant. An individual or organization debarred or suspended by one Federal agency is automatically debarred or suspended by all Federal agencies.

- (b) Has, within the three years preceding the submission of this application, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with a public (Federal, state, or local) transaction or a contract under a public transaction; for violation of Federal or state antitrust statutes; or for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
- (c) Is presently indicted for or otherwise criminally or civilly charged by a governmental entity with any of the offenses in paragraph (b) above.
- (d) Has, within the three years preceding the submission of this application, had any public transactions terminated for cause or default.

Any Applicant that is unable to certify to any of the statements in paragraphs (a) through (d) above must include an explanation as part of its application package.

The Applicant further agrees to incorporate these requirements in all solicitations, subgrants, contracts, and other transactions (excluding those under \$25,000) that are issued as part of the grant activity.

3 The Drug-Free Workplace Act of 1988 (41 U.S.C. 701 et seq. and 45 C.F.R. pt. 1154)

Organizations, generally within 30 days of receiving a grant, are required to:

- (a) **Publish a statement notifying employees** that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition. (For the purposes of this Act, alcohol is not considered a controlled substance.)
- (b) **Establish a drug-free awareness program.** This program must inform employees about the dangers of drug abuse in the workplace; the grantee's policy of maintaining a drug-free workplace; any available drug counseling, rehabilitation, and employee assistance programs; and the penalties that might be imposed for workplace drug abuse violations.
- (c) **Give a copy of the statement in paragraph (a) to each employee** who will be involved in grant-supported activities.
- (d) **Notify such employees that** they are expected to abide by the terms of the statement in paragraph (a) and that **any conviction for a violation of a criminal drug statute that occurs in the workplace must be reported to the employer**, in writing, no later than five calendar days after such a conviction. **The grantee, in turn, must notify the Arts Endowment's Grants Officer**, in writing, within ten calendar days of receiving any such notice. This notice must include the convicted individual's position title and the grant number(s) of each affected grant.
- (e) Take one of the following actions within 30 calendar days of receiving notice of a criminal drug conviction: (1) **take appropriate personnel action** against the convicted employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) **require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program** that has been approved for such purposes by a Federal, state, or local health, law enforcement, or other appropriate agency.
- (f) Make a good faith effort to continue to maintain a drug-free workplace through implementation of the above paragraphs.

For the purposes of the drug-free workplace requirements above, "employee" means all employees, including consultants and temporary personnel (but not volunteers), who are directly engaged in work under the grant and who are on the grantee's payroll. In line with these requirements, the grantee should maintain on file the address of each site where work is performed under the grant.

State, Regional, and Jurisdictional Arts Agencies

Following is a list of state and jurisdictional arts agencies and regional arts organizations working with the Arts Endowment utilizing funds mandated by the Congress as well as funds from state governments and other sources.

Alabama State Council on the Arts
One Dexter Avenue
Montgomery, AL 36130
334/242-4076

Alaska State Council on the Arts
411 West 4th Avenue, Suite 1E
Anchorage, AK 99501-2343
907/269-6610

American Samoa Council on Arts,
Culture & Humanities
P.O. Box 1540
Pago Pago, American Samoa 96799
011-684-633-4347

Arizona Commission on the Arts
417 West Roosevelt
Phoenix, AZ 85003
602/255-5882

Arkansas Arts Council
1500 Tower Building
323 Center Street
Little Rock, AR 72201
501/324-9766

California Arts Council
1300 I Street, #930
Sacramento, CA 95814
916/322-6555

Colorado Council on the Arts
750 Pennsylvania Street
Denver, CO 80203-3699
303/894-2617

Connecticut Commission on the Arts
755 Main Street
Hartford, CT 06103
203/566-4770

Delaware Division of the Arts
State Office Building
820 North French Street
Wilmington, DE 19801
302/577-3540

District of Columbia Commission on the
Arts & Humanities
410 8th Street, NW
Washington, DC 20004
202/724-5613

Division of Cultural Affairs
Florida Department of State
The Capitol
Tallahassee, FL 32399-0250
904/487-2980

Georgia Council for the Arts
530 Means Street, NW, Suite 115
Atlanta, GA 30318-5730
404/651-7920

Guam Council on the Arts & Humanities
Office of the Governor
P.O. Box 2950
Agana, GU 96910
011-671-647-2242

State Foundation on Culture & the Arts
44 Merchant Street
Honolulu, HI 96813
808/586-0300

Idaho Commission on the Arts
P.O. Box 83720
Boise, ID 83720-0008
208/334-2119

Illinois Arts Council
State of Illinois Center
100 West Randolph, Suite 10-500
Chicago, IL 60601
312/814-6750

Indiana Arts Commission
402 West Washington Street, Room 072
Indianapolis, IN 46204-2741
317/232-1268

Iowa Arts Council
600 East Locust
State Capitol Complex
Des Moines, IA 50319
515/281-4451

State, Regional, and Jurisdictional Agencies (continued)

Kansas Arts Commission
Jayhawk Tower
700 Jackson, Suite 1004
Topeka, KS 66603
913/296-3335

Kentucky Arts Council
31 Fountain Place
Frankfort, KY 40601
502/564-3757

Division of the Arts
Louisiana Department of Culture,
Recreation, & Tourism
1051 North 3rd Street
P.O. Box 44247
Baton Rouge, LA 70804
504/342-8180

Maine Arts Commission
55 Capitol Street
State House Station 25
Augusta, ME 04333
207/287-2724

Maryland State Arts Council
601 North Howard Street, 1st Floor
Baltimore, MD 21201
410/333-8232

Massachusetts Cultural Council
120 Boylston Street, 2nd Floor
Boston, MA 02116-4600
617/727-3668

Michigan Council for Arts and Cultural
Affairs
1200 6th Street, Executive Plaza
Detroit, MI 48226
313/256-3731

Minnesota State Arts Board
400 Sibley Street, Suite 200
St. Paul, MN 55101-1949
612/215-1600
800/8MN-ARTS

Mississippi Arts Commission
239 North Lamar Street, Second Floor
Jackson, MS 39201
601/359-6030

Missouri State Council on the Arts
Wainwright Office Complex
111 North Seventh Street, Suite 105
St. Louis, MO 63101
314/340-6845

Montana Arts Council
316 North Park Avenue
Room 252
Helena, MT 59620
406/444-6430

Nebraska Arts Council
The Joslyn Castle Carriage House
3838 Davenport Street
Omaha, NE 68131-2329
402/595-2122

Nevada State Council on the Arts
Capitol Complex
602 North Curry Street
Carson City, NV 89710
702/687-6680

New Hampshire State Council on the Arts
Phenix Hall
40 North Main Street
Concord, NH 03301
603/271-2789

New Jersey State Council on the Arts
20 West State Street, 3rd Floor
Trenton, NJ 08625-0306
609/292-6130

New Mexico Arts Division
228 East Palace Avenue
Santa Fe, NM 87501
505/827-6490

New York State Council on the Arts
915 Broadway
New York, NY 10010
212/387-7000

North Carolina Arts Council
Department of Cultural Resources
Raleigh, NC 27601-2807
919/733-2821

North Dakota Council on the Arts
418 East Broadway Ave., Suite 70
Bismarck, ND 58501-4086
701/328-3954

Commonwealth Council for Arts & Culture
P.O. Box 553, CHRB
CNMI Convention Center
Commonwealth of the Northern Mariana
Islands
Saipan, MP 96950
011-670-322-9982

State, Regional, and Jurisdictional Agencies (continued)

Ohio Arts Council
727 East Main Street
Columbus, OH 43205
614/466-2613

State Arts Council of Oklahoma
P.O. Box 52001-2001
Oklahoma City, OK 73152-2001
405/521-2931

Oregon Arts Commission
775 Summer Street, NE
Salem, OR 97310
503/986-0082

Commonwealth of Pennsylvania Council
on the Arts
Finance Building, Room 216A
Harrisburg, PA 17120
717/787-6883

Institute of Puerto Rican Culture
Apartado Postal 4184
San Juan, PR 00902-4184
809/724-3210

Rhode Island State Council on the Arts
95 Cedar Street, Suite 103
Providence, RI 02903
401/277-3880

South Carolina Arts Commission
1800 Gervais Street
Columbia, SC 29201
803/734-8696

South Dakota Arts Council
Office of Arts
800 Governors Drive
Pierre, SD 57501-2294
605/773-3131

Tennessee Arts Commission
Parkway Towers, Suite 160
404 James Robertson Parkway
Nashville, TN 37243-0780
615/741-1701

Texas Commission on the Arts
P.O. Box 13406, Capitol Station
Austin, TX 78711
512/463-5535

Utah Arts Council
617 East South Temple Street
Salt Lake City, UT 84102
801/533-5895

Vermont Council on the Arts
136 State Street
Montpelier, VT 05633-6001
802/828-3291

Virginia Commission for the Arts
223 Governor Street
Richmond, VA 23219
804/225-3132

Virgin Islands Council on the Arts
41-42 Norre Gade, 2nd Floor
P.O. Box 103
St. Thomas, VI 00802
809/774-5984

Washington State Arts Commission
234 East 8th Avenue
P.O. Box 42675
Olympia, WA 98504-2675
360/753-3860

Arts & Humanities Section
West Virginia Division of Culture & History
1900 Kanawha Blvd. East
Capitol Complex
Charleston, WV 25305-0300
304/558-0220

Wisconsin Arts Board
101 East Wilson Street, 1st Floor
Madison, WI 53702
608/266-0190

Wyoming Arts Council
2320 Capitol Avenue
Cheyenne, WY 82002
307/777-7742

State, Regional, and Jurisdictional Agencies (continued)

REGIONAL ARTS ORGANIZATIONS

Arts Midwest

Hennepin Center for the Arts
528 Hennepin Avenue, Suite 310
Minneapolis, MN 55403
612/341-0755

Consortium for Pacific Arts & Cultures

2141C Atherton Road
Honolulu, HI 96822
808/946-7381

Mid-America Arts Alliance

912 Baltimore Avenue, Suite 700
Kansas City, MO 64105
816/421-1388

Mid Atlantic Arts Foundation

11 East Chase Street, Suite 2-A
Baltimore, MD 21202
410/539-6659

New England Foundation for the Arts

330 Congress Street, 6th Floor
Boston, MA 02210-1216
617/951-0010

Southern Arts Federation

181 14th Street, NE, Suite 400
Atlanta, GA 30309
404/874-7244

Western States Arts Federation

236 Montezuma Avenue
Santa Fe, NM 87501
505/988-1166

PLEASE USE THE INFORMATION BELOW WHEN FILLING OUT THE INTENT TO APPLY CARD TO THE RIGHT. (For additional information, see page 45.)

ORGANIZATION TYPE. Choose **one** from the following. Enter both the number and description:

- 01 Artists Community
- 02 Arts Education
- 03 Arts Service Organization
- 04 College/University
- 05 Dance
- 06 Design
- 07 Expansion Arts Organization
- 08 Folk & Traditional Arts
- 09 Literary Organization
- 10 Local Arts Agency
- 11 Media Arts
- 12 Museum
- 13 Music
- 14 Musical Theater
- 15 Opera
- 16 Presenting
- 17 Regional Arts Organization
- 18 State Arts Agency
- 19 State-wide Assembly
- 20 Theater
- 21 Visual Arts
- 22 Non-Arts Organization

THEME UNDER WHICH YOU ARE APPLYING. Choose **one** from the following:

- 001 Heritage & Preservation
- 002 Education & Access
- 003 Creation & Presentation
- 004 Planning & Stabilization

DISCIPLINE MOST RELEVANT TO YOUR PROJECT. Choose **one** from the following:

- 23 Dance
- 24 Design
- 25 Literature
- 26 Media Arts including film, television, radio, audio art
- 27 Music
- 28 Musical Theater
- 29 Opera
- 30 Theater
- 31 Visual Arts including painting, photography, sculpture, crafts, works on paper, other genres
- 32 Multidisciplinary



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APPLICATION GUIDELINES

Intent to Apply Card

Please complete this card and send it to the Arts Endowment no later than:

February 5, 1996 if you are applying under Heritage & Preservation or Education & Access

February 20, 1996 if you are applying under Creation & Presentation or Planning & Stabilization.

Name of applicant organization: _____

Address: _____

City, state, zip code: _____

Name of contact person: _____

Phone number: _____

Organization type: _____

Theme under which you intend to apply: _____

Discipline most relevant to your project: _____

Brief description of project: _____

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Washington, DC 20506-0001

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National Endowment for the Arts

Application Acknowledgment Card

Please address the reverse side of this card to yourself and include it in your application package (not with your Intent to Apply Card). It will be returned to you to acknowledge receipt of your application at the Arts Endowment. In all future inquiries, refer to your application number which is:

Application Number—Arts Endowment Use Only

Date

Put Stamp Here.
The Post Office
will not deliver
mail without
postage.